

Receipt
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1 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2 Application Serial No 09/610,160
3 Filing Date 7/5/2000
4 Inventorship Horn et.al.
5 Group Art Unit 9
6 Examiner Marketocracy
7 Applicant
8 Attorney's Docket No. MK1-003US

Title: System and Method for Determining and Tracking Performance Metrics for Individual Investors

9 TRANSMITTAL LETTER AND CERTIFICATE OF MAILING

10 To: The Commissioner of Patents & Trademarks
11 Washington, D.C. 20231
12 From: Lewis C. Lee (Tel. 509-324-9256; Fax 509-323-8979)
13 Lee & Hayes, PLLC
14 421 W. Riverside Avenue, Suite 500
15 Spokane, WA 99201



16 The following enumerated items accompany this transmittal letter and are being submitted for the
17 matter identified in the above caption.

18 1. Transmittal letter including Certificate of Mailing
19 2. Return Post Card
20 3. Request for Correction of Filing Receipt and attachments

21 Large Entity Status Small Entity Status

22 Applicant hereby requests an extension of time in any case such an extension is necessary. The fee
23 should be charged to the Deposit Account indicated below.

24 The Commissioner is hereby authorized to charge payment of fees or credit overpayments to Deposit
25 Account No. 12-0769 in connection with any patent application filing fees under 37 CFR 1.16, and any
processing fees, including any necessary extension fees under 37 CFR 1.17.

Date: 1/10/2001

By: Lewis C. Lee

Lewis C. Lee
Reg. No. 34,656

26 CERTIFICATE OF MAILING

27 I hereby certify that the items listed above as enclosed are being deposited with the U.S. Postal
28 Service as first class mail in an envelope addressed to The Commissioner of Patents & Trademarks,
29 Washington, D.C. 20231, on the below-indicated date

Date: 1/10/2001

By: Chery Boies
Chery Boies

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3 Inventor.....Horn et al.
ApplicantMarketocracy
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5 Title: System and Method for Determining and Tracking Performance Metrics for
Individual Investors

REQUEST FOR CORRECTION OF FILING RECEIPT

To: Application Processing Division – Customer Correction Branch
Commissioner of Patents and Trademarks
Washington, D.C. 20231

10 From: Lewis C. Lee (Tel. 509-324-9256; Fax 509-323-8979)
11 Lee & Hayes, PLLC
421 W. Riverside Avenue, Suite 500
Spokane, WA 99201

13 There is an error in the address of the second listed applicant on the Filing
14 Receipt. The correct state is **CA**. A copy of the executed Declaration is enclosed for
15 verification.

16 A copy of the filing receipt with the correction noted is also enclosed.
17 Applicant respectfully requests correction and issuance of a corrected filing
18 receipt.

Respectfully submitted,

Dated: 1/10/2001

By: Lewis C. Lee
Lewis C. Lee
Reg. No. 34,656
(509) 324-9256



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/610,160	07/05/2000	2761	576	MK1-003US	3	24	6

Lewis C Lee
 Lee & Hayes PLLC
 421 W Riverside Avenue
 Suite 500
 Spokane, WA 99201



FILING RECEIPT



Date Mailed: 11/02/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Bruce Horn, Mammoth Lakes, CA ;
 Blake Ward, Los Gatos, GA ;

CA

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 09/06/2000

** SMALL ENTITY **

Title

System and method for determining and tracking performance metrics for individual investors

Preliminary Class

705

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Data entry by : JONES, ANGELONA

Team : OIPE

Date: 11/02/2000



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**



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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

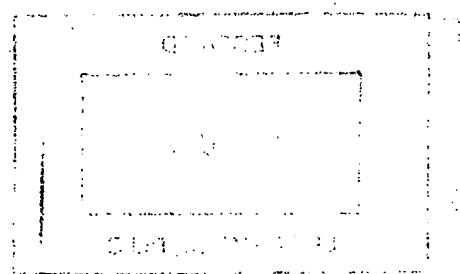
PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Office of Initial Patent Examination
Customer Service Center
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CONFIRMATION NO. 4511

Bib Data Sheet

SERIAL NUMBER 09/610,160	FILING DATE 07/05/2000 RULE	CLASS 705	GROUP ART UNIT 2761	ATTORNEY DOCKET NO. MK1-003US
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APPLICANTS

Bruce Horn, Mammoth Lakes, CA;
 Blake Ward, Los Gatos, CA;

** CONTINUING DATA *****

** FOREIGN APPLICATIONS *****

IF REQUIRED, FOREIGN FILING LICENSE
 GRANTED ** 09/06/2000

** SMALL ENTITY **

Foreign Priority claimed	<input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY CA	SHEETS DRAWING 3	TOTAL CLAIMS 24	INDEPENDENT CLAIMS 6
35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature Initials				

ADDRESS

Lewis C Lee
 Lee & Hayes PLLC
 421 W Riverside Avenue
 Suite 500
 Spokane, WA 99201

TITLE

System and method for determining and tracking performance metrics for individual investors

FILING FEE RECEIVED 576	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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